

DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 16: ADMINISTRATIVE MANAGEMENT RECORDS

9-7-99

This schedule covers those administrative management activities not covered by other Administrative Schedules. Included are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. See ADM 1 (items 12 and 13) for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs.

The organizational locations and titles of administrative management units vary. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards are followed: the first Departmental level is the Secretarial level, the next level is the program office; followed by the subordinate components the division, branch, section, and unit.

This schedule covers the records of management activities that are carried on by a specialized person or unit with wide responsibilities. Similar or comparable records created at lower organizational levels in the Department and in field offices are not covered by this schedule.

A relatively large proportion of administrative management records are of continuing value. Files of potential archival value must be scheduled by submission of an SF 115 to NARA. Among these records are organizational charts and reorganization studies, functional statements, delegations of authority, and histories. Certain materials related to these records that are not archival, however, include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routine slips, and extra copies of documents.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats.

1. Administrative Issuances. (GRS 16, item 1)

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete.

- b. Case files related to (a) above that document aspects of the development of the issuance.

Destroy when issuance is destroyed.

1.1 Issuance Documenting Substantive Functions. (NI-434-98-19)

Record set of DOE Secretary, Assistant Secretary, or equivalent contractor or Federal level records documenting the substantive functions for which the maintaining organization is responsible including policies, plans, procedures, practices, and directives.

Permanent. Cut off at the end of each fiscal year. Transfer to inactive storage after 5 years. Transfer to NARA in 5 year blocks when most recent record is 25 years old.

1.2 Management Improvement Programs. (NI-434-98-19)

Records generated as a part of a cultural philosophy which promulgates management improvement programs. The focus is on streamlining operations, providing cost effectiveness, improving customer satisfaction, and continuing improvement of work processes or products. Proactive preventive program records are included. Records may provide internal information, advice, or recommendations. Includes such files as employee suggestion forms, analyses, non-conformance process records, and related background material. Also includes corrective action plans in response to management improvement recommendations.

Cut off at the end of each fiscal year. Destroy 5 years after cutoff.

1.3 Performance Indicators. (NI-434-98-19)

The performance indicator (PI) program establishes a uniform system for analyzing data to support progress for improving performance and strengthen control of operations. Files include documentation of improvement, performance gains, and early identification of deteriorating conditions. Information includes quarterly reports, summary reports, associate data sheets, errata forms, trending and analysis documentation, distribution diagrams, program scheduled and status logs, facility lists, and charts used to summarize the information evaluated and data complied; including control charts that serve to alert management to the existence of special causes of variation within a system or process.

Cut off at the end of each fiscal year. Destroy 5 years after cutoff.

1.4 Baseline Management. (NI-434-98-19)

Records generated to document facility project activities' technical scope, project

schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals.

- a. Development of baselines and all supporting documentation.

Cut off at the end of each fiscal year. Destroy when 10 years old.

- b. Baseline change proposals, approvals, and supporting documentation.

Cut off at the end of each fiscal year. Destroy when 10 years old.

1.5 Correspondence. (NI-434-98-19)

Correspondence files are arranged according to general information or subject content. Files include letters, memorandums, forms, reports, and other data that relate to functions for which the office exists, but not the specific case files.

- a. Correspondence files documenting the development and overall implementation and administration of plans and policies pertaining to the mission or functions for which the office has primary responsibility; opinions and decisions of an important policy or those that set precedents. (These files will generally be found in the offices of principal or senior staff.)

Permanent. Cut off at the end of each fiscal year. Transfer to inactive storage after 5 years. Transfer to NARA in 5 year blocks when most recent record is 25 years old.

- b. Correspondence files documenting the day to day operations and routine administration of established or new missions, policies, and procedures for which the office or contractor has primary responsibility, provided that the documentation in 1.5a, above is preserved.

Cutoff at the end of each Fiscal Year. Destroy 15 years after cutoff.

1.6 All Other copies of Administrative Issuances. (NI-434-98-19)

Destroy when no longer need for reference.

2. Records Disposition Files. (GRS 16, item 2)

Descriptive inventories, disposal authorizations, schedules, and reports.

- a. Basic documentation of records description and disposition programs, including

SF115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of records to National Archives of the United States; and related documentation.

Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.

- b. Routine correspondence and memoranda.

Destroy when no longer needed for reference.

3. Forms Files. (GRS 16, item 3)

- a. One record copy of each form created by an Department or contractor with related instructions and documentation showing inception, scope, and purpose of the form.

Destroy 5 years after related form is discontinued, superseded, or canceled.

- b. Background materials, requisitions, specifications, processing data, and control records.

Destroy when related form is discontinued, superseded, or canceled.

4. Records Holdings Files. (GRS 16, item 4)

Statistical reports of Department holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

- a. Records held by offices that prepare reports on Department-wide records holdings.

Destroy when 3 years old.

- b. Records held by other offices.

Destroy when 1 year old.

5. Project Control Files. (GRS 16, item 5)

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed.

6. Reports Control Files. (GRS 16, item 6)

Case files maintained for each Department report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Destroy 2 years after the report is discontinued.

7. Records Management Files. (GRS 16, item 7)

Correspondence, reports, authorizations, and other records that relate to the management of Department records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, automated information systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.

8. Committee and Conference Files. (NI-434-98-19)

- a. Records relating to establishment, organization, membership, and policy of internal committees.

Destroy 2 years after termination of committee.

- b. Records created by committees.

- (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat.

Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

- (1.1) Advisory Committee Records.

Advisory committee records maintained by the committee sponsor for two types of committees: Presidential and those having a national interest, e.g.,

national security. (Advisory committee means a committee subject to the Federal Advisory Committee Act. See definitions in 41 Code of federal Regulations, Section 101-6.2003.)

Permanent. Transfer to the National Archives 10 years after termination of the committee or, in the case of standing committees, cut off annually and transfer 10 years after cutoff.

(1.2) Closed Advisory Committee Meeting Records.

Closed advisory committee meeting records (meetings closed in whole or in part). Included are records prepared to comply with the provisions of the Government in the Sunshine Act or to comply with the provisions of other law authorizing closed meetings. Also included are records that authorize, justify, or report on closed meetings. Additional records included consist of transcriptions, minutes of, and electronic recordings for which verbatim transcripts do not exist.

Permanent. Transfer to the National Archives 10 years after termination or, in the case of standing committees, cut off annually and transfer 10 years after cutoff.

(2) All other committee records.

Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

- c. Records maintained by Department Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.

Destroy 5 years after termination of committee.

9. Feasibility Studies. (GRS 16, item 9)

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

Destroy 5 years after completion or cancellation of study.

10. Microform Inspection Records. (GRS 16, item 10)

- a. Department copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230.

Destroy 1 year after the records are transferred to the legal custody of the National Archives.

[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or attached to the SF 258 when records are transferred to the National Archives. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

- b. Departmental copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.

Destroy when no longer needed.

11. IRM Triennial Review Files. (GRS 16, item 11)

Reports required by the General Service Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old.

12. Information Collection Budget Files. (GRS 16, item 12)

Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling Departmental reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old.

13. Documents Published in the Federal Register. (GRS 16, item 13)

- a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications;

issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

Destroy when 1 year old.

- b. Files documenting the processing of semiannual regulatory agenda.

Destroy when 2 years old.

[NOTE: Departmental files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the Records Schedules. These records may be, but are not necessarily, permanent. They must be individually scheduled so that NARA can analyze and appraise the records to determine their appropriate disposition.]
(NI-434-98-19)

14. Management Control Records. (GRS 16, item 14)

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.

Copies of internal directives maintained by the Department's internal control staff (but not those copies maintained in the Department's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Destroy when superseded.

- b. Management control plans.

Comprehensive plans documenting the Department's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

- c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually. Destroy after next review cycle.

- d. Annual reports and assurance statements created by organizational components below the Departmental level and compiled by the Department into a single unified report for direct submission to the President and Congress.

Cut off closed files annually. Destroy after next reporting cycle.

[NOTE: The consolidated final reports submitted directly to the President and Congress must be scheduled by submitting an SF 115 to the National Archives.]

- e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed.

- f. Review files.

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

- (1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

- (2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary.

Destroy 1 year after cutoff.

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

15. Electronic Mail and Word Processing System Copies. (GRS 16, item 15)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.